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**Complete if Known**

Application Number	09849168
Filing Date	5/4/01
First Named Inventor	MICHAEL NEAL
Group Art Unit	3623
Examiner Name	STEPHEN BYLCIW
Attorney Docket Number	DT-0101

Sheet	1	of	2
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U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup>			
SB	AA	5,063,506		BROCKWELL ET AL.	11-05-1991	ABSTRACT
SB	AB	5,117,354		LONG ET AL.	05-26-1992	ABSTRACT
SB	AC	5,249,120		FOLEY	09-28-1993	ABSTRACT
SB	AD	5,377,095		MAEDA ET AL.	12-27-1994	C1L39-C2L2
SB	AE	5,712,985		LEE ET AL.	01-27-1998	ABSTRACT
SB	AF	5,822,736		HARTMAN ET AL.	10-13-1998	ABSTRACT
SB	AG	5,873,069		REUHL ET AL.	02-16-1999	C3L58-C4L48
SB	AH	5,878,400		CARTER, III	03-02-1999	C3L21-C4L11
SB	AI	5,918,209		CAMPBELL ET AL.	06-29-1999	ABSTRACT
SB	AJ	5,987,425		HARTMAN ET AL.	11-16-1999	ABSTRACT, FIG. 5
SB	AK	6,009,407		GARG	12-28-1999	ABSTRACT
SB	AL	6,029,139		CUNNINGHAM ET AL.	02-22-2000	ABSTRACT
SB	AM	6,032,123		JAMESON	02-29-2000	ABSTRACT
SB	AN	6,032,125		ANDO	02-29-2000	ABSTRACT, FIG. 3
SB	AO	6,078,893		OUIMET ET AL.	06-20-2000	C4L40-C5L33
SB	AP	6,094,641		OUIMET ET AL.	06-25-2000	C4L25-C6L26
SB	AQ	6,125,355		BEKAERT ET AL.	09-26-2000	ABSTRACT

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Signature**

Stephen Bylcam

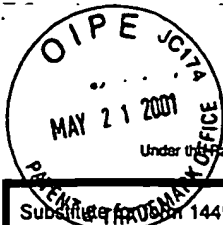
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Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>	
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				Examiner Name	STEPHEN BYLCIW
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OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>	
SB	BA	ROSSI, DELURGIO, & KANTOR; "MAKING SENSE OF SCANNER DATA," <i>HARVARD BUSINESS REVIEW</i> , REPRINT F00205		
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SB	BH	JONES, "THE DOUBLE JEOPARDY OF SALES PROMOTIONS," <i>HARVARD BUSINESS REVIEW</i> , SEPTEMBER-OCTOBER 1999, PP. 145-152		
SB	BI	BUZZELL, QUELCH, & SALMON; "THE COSTLY BARGAIN OF TRADE PROMOTION," <i>HARVARD BUSINESS REVIEW</i> , REPRINT 90201, MARCH-APRIL 1990, PP. 1-9		
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SB	BK	GURAL, "PRICE OPTIMIZATION SYSTEM," LETTER TO KANG LIM, ESQ., DTD 2/9/01, PATENTEC, REFERENCE NUMBER 7220		

Examiner Signature	<i>Stephen Bylcw</i>	Date Considered	5-20-2005
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8-6-2001

<b>Form 1449 (Modified)</b>  <b>Information Disclosure Statement By Applicant</b>  (Use Several Sheets if Necessary)	Atty Docket No.	Application No.:
	DT: 0101	09/849,168
	Applicant:	EXAMINER: STEPHEN
	NEAL et al.	Group 3623 BYLCIW
Filing Date	05/04/01	UNASSIGNED

#### U.S. Patent Documents

Examiner Initial	No.	Patent No.	Date	Patentee	Class	Sub-class	Filing Date
	A						
	B						
	C						
	D						
	E						
	F						
	G						
	H						
	I						

#### Foreign Patent or Published Foreign Patent Application

Examiner Initial	No.	Document No.	Publication Date	Country or Patent Office	Class	Sub-class	Translation	
							Yes	No
	J							
	K							
	L							
	M							
	N							

#### Other Documents

Examiner Initial	No.	Author, Title, Date, Place (e.g. Journal) of Publication
SB	O	Stephen J. Hoch et al., "Store Brands and Category Management", The Wharton School, University of Pennsylvania, March 1998, pp. 1-38
SB	P	Bruce G.S. Hardie et al., "Attribute-based Market Share Models: Methodological Development and Managerial Applications", The Wharton School, University of Pennsylvania, Working Paper 98-009, pp. 1-48
SB	Q	Alan Mercer, "Non-linear Price Effects", Journal of the Market Research Society, dated 7/1/96, p. 227
SB	R	Rockney G. Walters, "Assessing the Impact of Retail Price Promotions on Product Substitution, Complementary Purchase, and Interstore Sales Displacement", Journal of Marketing, Vol. 55, April 1991, pp. 17-28
SB	S	Robert C. Blattberg et al., "How Promotions Work", Marketing Science, Vol. 14, No. 3, Part 2 of 2, 1995, pp. G122-G132
SB	T	Peter M. Guadagni et al., "A Logit Model of Brand Choice Calibrated on Scanner Data", Marketing Science, Vol. 2, No. 3, Summer 1983, pp. 203-238
SB	U	Lee G. Cooper et al., "Standardizing Variables in Multiplicative Choice Models", Journal of Consumer Research, Vol. 10, June 1983, pp. 96-108

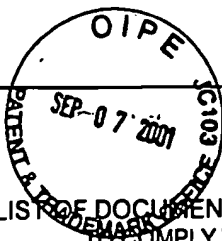


SB	V	Eileen Bridges et al., "A High-Tech Product Market Share Model with Customer Expectations" Marketing Science, Vol. 14, No. 1, Winter 1995, pp. 61-81
SB	W	Richard R. Batsell, et al., "A New Class of Market Share Models", Marketing Science, Vol. 4, No. 3, Summer 1985, pp. 177-198
SB	X	Jagmohan S. Raju, "The Effect of Price Promotions on Variability in Product Category Sales", Marketing Science, Vol. 11, No. 3, Summer 1992, pp. 207-220
SB	Y	Robert J. Dolan, "How Do You Know When the Price Is Right?", Harvard Business Review, September-October 1995, pp. 5-11
SB	Z	Fusun Gonul, "Modeling Multiple Sources of Heterogeneity in Multinomial Logit Models: Methodological and Managerial Issues", Marketing Science, Vol. 12, No. 3, Summer 1993, pp. 213-229
SB	AA	Robert M. Schindler et al., "Increased Consumer Sales Response through Use of 99-Ending Prices", Journal of Retailing, 6/1/96, p. 187
SB	BB	Francis J. Mulhern et al., "The Relationship between Retail Price Promotions and Regular Price Purchases", Journal of Marketing, Vol. 59, October 1995, pp. 83-90
SB	CC	John Deighton et al., "The Effects of Advertising on Brand Switching and Repeat Purchasing", Journal of Marketing Research, Vol. XXXI, February 1994, pp. 28-43
SB	DD	Sunil Gupta, "Reflections on 'Impact of Sales Promotions on When, What, and How Much to Buy'", Journal of Marketing Research, Vol. XXX, November 1993, pp. 522-24
SB	EE	Richard A. Briesch, "Does It Matter How Price Promotions Are Operationalized?", Marketing Letters 8:2 (1997), pp. 167-181
SB	FF	Byung-Do Kim et al., "Modeling the Distribution of Price Sensitivity and Implications for Optimal Retail Pricing", Journal of Business & Economic Statistics, July 1995, Vol. 13, No. 3
SB	GG	William R. Dillon et al., "A Segment-level Model of Category Volume and Brand Choice", Marketing Science, Vol. 15, No. 1, 1996, pp. 38-59
SB	HH	Stephen J. Hoch et al., "Determinants of Store-Level Price Elasticity", Journal of Marketing Research, Vol. XXXII (February 1995), pp. 17-29
SB	II	Magid M. Abraham et al., "An Implemented System for Improving Promotion Productivity Using Store Scanner Data", Marketing Science, Vol. 12, No. 3, Summer 1993
SB	JJ	Peter S. Fader et al., "Modeling Consumer Choice among SKUs", Journal of Marketing Research, Vol. XXXIII (November 1996), pp. 442-452
Examiner <i>Stephen Bytown</i>		Date Considered <i>5-20-2005</i>

Examiner: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

9-7-2001

Sheet 1 of 1

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
DT0101SERIAL NO.  
09/849,168LIST OF DOCUMENTS CITED BY APPLICANT  
TO COMPLY WITH 37 C.F.R. 1.56

APPLICANT

Neal et al.

FILING DATE  
05/04/01GROUP <sup>3623</sup>  
STEPHEN BYLCIW  
~~Unassigned~~

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
SB	AA	6,205,431	03/20/01	Willemain et al.	705	10	
SB	AB	5,459,656	10/17/95	Fields et al.	364	401	
SB	AC	5,299,115	03/29/94	Fields et al.	364	401	
SB	AD	5,799,286	08/25/98	Morgan et al.	705	30	
SB	AE	5,732,401	03/24/98	Conway	705	29	

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## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

SB	AI		"Report of Novelty Search" by Patentec, dated July 25, 2001					

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DATE CONSIDERED

5-20-2005

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5-31-2002

6/13/02  
PH  
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<b>Substitute for form 1449/APTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	09/849168
				Filing Date	5/4/2001
				First Named Inventor	Phil Delurgio (NEAL?)
				Group Art Unit	3623
Examiner Name	STEPHEN BYLCIW				
Sheet	1	of	1	Attorney Docket Number	DT.0101

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup>			
SB	AA	6,308,162		Quimet et al	10/23/2001	

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number <sup>2</sup>	Kind Code <sup>3</sup>			
SB	BA	WO 98/53415		Quimet et al	11/26/1998	

OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS					
Examiner Initials <sup>4</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			T <sup>2</sup>
SB	CA	Montgomery: "The Impact of Micro-Marketing on Pricing Strategies", 1994 The University of Chicago, volume 55/12-A of Dissertation Abstracts International, page 3922 (ABSTRACT ONLY).			
SB	CB	Busch: "Cost modeling as a technical management tool", Research-Technology Management, Nov/Dec 1994, vol. 37, no. 6, pages 50-56.			
SB	CC	"Pacifcorp IRP: Renewables Costs Must Drop 65% to be Competitive with Gas"			
Examiner Signature	Stephen Bylcw			Date Considered	6/10/05

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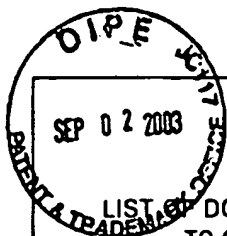
<sup>4</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered.  
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9-2-2003

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FILING DATE  
05/04/01GROUP <sup>3623</sup>  
STEPHEN BYLCIw  
~~UNKNOWN~~

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	<del>AA</del>	<del>6,025,686</del>	<del>05/18/2000</del>	<del>Fernandez et al.</del>			
SB	AB	6,173,345	01/09/2001	William A. Stevens			

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		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
SB	BA	WO 98/53415	11/26/1998	Ouimet et al.				

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GROUP 3600

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

SB	CA		"PCT International Search Report", Application Number PCT/US02/36710, mailed July 21, 2003.					
SB	CB		YOEMAN, JOHN CORNELIUS JR., "The Optimal Offering Price for Underwritten Securities", 1993, Volume 55/01-A of Dissertation Abstracts International, Page 4743 (Abstract Only).					

EXAMINER

*Stephen R. Bylciw*

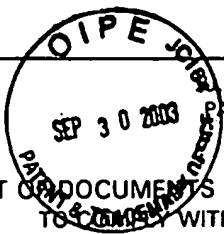
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09/849,168

APPLICANT

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FILING DATE  
5/4/01

GROUP <sup>3623</sup>  
STEPHEN BYLCI W  
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### U.S. PATENT DOCUMENTS

EXAMINER INITIAL*	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

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### FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

NOT FOUND	CA		<del>"PCT International Search Report", Application Number PCT/US02/14977, mailed May 5, 2003.</del>
SB	CB		DYER, ROBERT F. et al., "Case Studies in Marketing Decisions Using Expert Choice," Decision Support Software, 1988, Pages 2-7, 73-108.

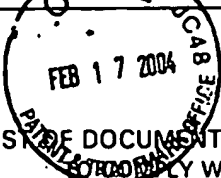
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	APPLICANT NEAL	
	FILING DATE 05/04/2001	GROUP <sup>3623</sup> STEPHEN BYLCI W <del>Unknown</del>

## U.S. PATENT DOCUMENTS

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SB	AC	6,341,268	01/22/2002	Walker et al.			
SB	AD	6,134,534	10/17/2000	Walker et al.			
SB	AE	6,052,686	04/18/2000	Fernandez et al.			
SB	AF	5,933,813	08/03/1999	Teicher et al.			
SB	AG	5,790,643	08/04/1998	Gordon et al.			
SB	AH	5,765,143	06/09/1998	Sheldon et al.			

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GROUP 3600

## FOREIGN PATENT DOCUMENTS

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							YES	NO

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SB	CA		"PCT International Search Report", Application Number PCT/US03/30488, mailed January 28, 2004.					
SB	CB		Bruce G.S. Hardie et al., "Attribute-based Market Share Models: Methodological Development and Managerial Applications", University of Pennsylvania, Working Paper 98-009, pp. 1-48, 1998.					
SB	CC		Rossi, Delorgio, & Kantor; "Making Sense of Scanner Data," Harvard Business Review, Reprint F00205, 2000.					
SB	CD		"Pacifcorp IRP: Renewables Costs Must Drop 65% to be Competitive with Gas," dated December 8, 1995.					
SB	CE		Robert J. Dolan, "How Do You Know When the Price is Right?", Harvard Business Review, September-October 1995, P. 4-11					

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7-12-2004

Sheet 1 of 1

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APPLICANT

NEAL

FILING DATE  
05/04/2001GROUP <sup>3623</sup>STEPHEN BYLCIw  
~~Unknown~~

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SB	AA	6,725,208	04/20/2004	Hartman et al.			
SB	AB	6,341,269	01/22/2002	Dulaney et al.			
SB	AC	5,377,095	12/27/1994	Maeda et al.		JUL 16	2004
						GROUP 3600	

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SB	BA	Alan L. Montgomery and Peter R. Rossi, "Estimating Price Elasticities with Theory-Based Priors," Journal of Marketing Research Vol. XXXVI, November 1999 (pp 413-423).
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EXAMINER

*Stephen Bylcw*

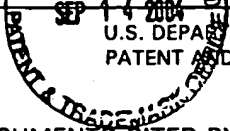
DATE CONSIDERED

5-20-2005

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9-14-2004

Sheet 1 of 1

 <p>LIST OF DOCUMENTS CITED BY APPLICANT TO COMPLY WITH 37 C.F.R. 1.56</p>	ATTY. DOCKET NO. <b>DT-0101</b>	SERIAL NO. <b>09/849,168</b>
	APPLICANT <b>NEAL</b>	
	FILING DATE <b>05/04/2001</b>	GROUP <b>3623</b> <b>STEPHEN BYLCIW</b> <b>Unknown</b>

## U.S. PATENT DOCUMENTS

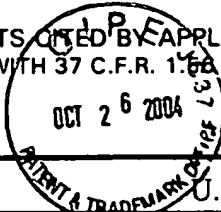
EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
SB	AA	6,684,193	01/27/2004	Chavez et al.			
SB	AB	6,553,352	04/22/2003	Delurgio et al.			
SB	AC	6,044,357	03/28/2000	Garg			

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER <i>Stephen Bylcw</i>	DATE CONSIDERED <b>5-20-2005</b>
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U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  LIST OF DOCUMENTS CITED BY APPLICANT TO COMPLY WITH 37 C.F.R. 1.68	ATTY. DOCKET NO. DT-0101	SERIAL NO. 09/849,168
	APPLICANT NEAL	
	FILING DATE 05/04/2001	GROUP <sup>3623</sup> STEPHEN BYLCIw <del>Unknown</del>



## U.S. PATENT DOCUMENTS

EXAMINER INITIAL*	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

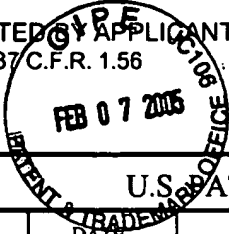
SB	AA	"Merriam Webster's Collegiate Dictionary", 10 <sup>th</sup> edition, pg 585, Merriam-Webster Incorporated, 1999.
SB	AB	Hernandez, Mauricio A., and Salvatore J. Stolfo, "Real-world Data is Dirty: Data Cleansing and the Merge/Purge Problem", Data Mining and Knowledge Discovery, Vol. 2, Issue 1, January 1998.

EXAMINER <i>Stephen Bylcw</i>	DATE CONSIDERED 5-20-2005
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[illegible]

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LIST OF DOCUMENTS CITED BY APPLICANT TO COMPLY WITH 37 C.F.R. 1.56				APPLICANT NEAL			
				FILING DATE 05/04/2001		GROUP <sup>3623</sup> STEPHEN BYLCIW Unknown	



U.S. PATENT DOCUMENTS

EXAMINER INITIAL*	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
SB	AA	6,567,824	05/20/03	Fox		
SB	AB	6,321,207	11/20/01	Ye		

FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER <i>Stephen Bylcw</i>	DATE CONSIDERED <i>5-20-2005</i>
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